

# POLK COUNTY MENTAL HEALTH AND DISABILITY SERVICES REGION

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## POLICY AND PROCEDURE

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PREPARED BY:

**POLK COUNTY**  
**HEALTH SERVICES**

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## **POLK COUNTY REGIONAL** **MENTAL HEALTH AND DISABILITY SERVICES** **MANAGEMENT PLAN**

### **I. — POLICIES AND PROCEDURES MANUAL**

~~PREPARED BY:~~

**P O L K | C O U N T Y**  
**H E A L T H | S E R V I C E S**

**APRIL 1, 2014**

~~REVISED, AMENDED, AMENDED~~ **OCTOBER 1, 2014** **JULY 1,**  
**2020**

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## Introduction and Vision

Polk County serves as a mental health and disability service region in compliance with Iowa Code 331.390 and Chapter 25. The Polk County Regional Mental Health and Disability Services Management Plan is designed to improve health, quality of life, and successful outcomes for the adults-individuals and families in our region who have mental health disabilities and intellectual/ or other developmental disabilities, including those with multi-occurring substance use issues, health issues, physical disabilities, brain injuries, and other complex human service needs.

In accordance with the principles listed in the legislative mental health redesign, Polk County will work in a quality improvement partnership with stakeholders in the region (providers, families, individuals, and partner health and human service systems) to develop a system of care approach that is characterized by the following principles and values:

- Welcoming and individual-oriented
- Person and family driven
- Recovery/resiliency oriented
- Trauma-informed
- Culturally competent
- Multi-occurring capable

### Basic Framework of the Polk County Regional Mental Health and Disability Services Management Plan

This Regional Mental Health and Disability Services (MHDS) Management Plan describes both the framework for system design that Polk County will use to carry out this vision, as well as the specific activities within the system that will be funded and monitored directly by Polk County. The Plan meets the requirements of Iowa Code (IC) section 331.393 and provides for cost-effective, individualized services and supports that assist persons with disabilities to be as independent, productive, and integrated into the community as possible, within the constraints of available resources.

In compliance with Iowa Administrative Code (IAC) 441-25 the Plan includes three parts: Annual Service and Budget Plan, Annual Report, and Policies and Procedures Manual. The Annual Service and Budget Plan includes the services to be provided and the cost of those services, local access points, service coordination and targeted targeted case management, crisis planning, intensive mental health services, children's behavioral health services, agencies, a plan for ensuring effective crisis prevention and a description of the scope of services, projection of need and cost to meet the need, and provider reimbursement provisions. The Annual Report provides an analysis of data concerning services managed for the previous fiscal year. The Policies and Procedures Manual includes policies and procedures concerning management and administration of the regional MHDS plan.

A current Pplan is available at the Polk County Health Services (PCHS) Regional office and on the the Polk County MHDS Regional website (<http://www.polkcountyia.gov/healthservices/disability-services/disability-service-delivery/>) and the Department of Human Services website.

## I. POLICIES AND PROCEDURES MANUAL

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## A. Organizational Structure of the Polk County MHDS Region

### Governing Board & MH/DS Advisory Board Committees

Polk County has a very long history of innovation in service delivery and administrative structure. Following a community-wide study and plan for deinstitutionalization in the mid-1970's, the Polk County Board of Supervisors created Polk County Health Services, Inc. (PCHS), as a private, non-profit corporation to oversee the development of a comprehensive system of community-based services as an alternative for persons then served in the state mental health institutes. Subsequently, the PCHS board developed a plan, approved by the Board of Supervisors, to also develop community supports for the county's residents then at Woodward State Resource Center.

The Polk County Health Services Board consists of 15 members. One of the 15 board members is a member of the Polk County Board of Supervisors, appointed by that board. One is a member of the Broadlawns Hospital Board of Trustees, appointed by that board. The remaining 13 members are service recipients, provider board members, family members of service recipients, and representatives from the community at large. Polk County believes very strongly that the governance board for the system needs to include real representation and participation by stakeholders rather than token representation as ex-officio, non-voting members. The Polk County Health Services Board of Directors provides the vision AND oversight, and makes recommendations to the Board of Supervisors regarding governance of the system. The Board of Supervisors adopts the final budget and performs other functions as required by law.

**Regional Governing Board:** This Regional Governing Board is responsible for governance of the system including adoption of the Annual Service Plan and Budget.

The Polk County Regional Governing Board is a ten-member board consisting of: five Board of Supervisor representatives elected by local districts throughout Polk County, one voting and one non-voting ex-officio member designated by the Adult Advisory Committee and, two voting and one non-voting ex-officio members designated by the Children's Advisory Committee. No member of the Governing Board shall be an employee of the Department of Human Services or a non-elected employee of Polk County. This Regional Governing Board is responsible for governance of the system including adoption of the Annual Service Plan and Budget.

**Regional Advisory Committee:** The Governing Board, as required by law, has two advisory committees one Adult and one Children's Behavior. The adult committee will be made up of 10 members and the children's committee will be made up of the 10 members designated by legislation. All committee members will be designated by the Regional Governing Board. The committee's responsibility as it relates to the system includes: expressing concerns and ideas to the Regional Governing Board, designating representatives to the Regional Governing Board and meeting a minimum of two times per year.

The Polk County Regional Governing Board contracts with a private entity, the Regional system, with Polk County Health Services (PCHS) a private, non-profit corporation, to manage of the Regional service system.

### Chief Executive Officer

The Executive Director of Polk County Health Services will serve as the Chief Executive Officer of the Polk County Region. The Chief Executive Officer ("CEO") shall be designated by the Governing Board. The Region intends to either a) employ, b) designate or c) contract for the Chief Executive Officer. The Chief Executive Officer ("CEO") shall be designated by the Governing Board. The Chief Executive Officer shall be the single point of accountability for the Region. The Chief Executive Officer shall be under the direct control of the Regional Governing Board. The CEO supports the function of the Regional Governing Board. Section 331.390, Paragraph 3.a., Code of Iowa, requires that the regional administrator be under the control of

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the governing board. This is a function that the Polk County Board of Supervisors has delegated to the Polk County Health Services Board of Directors. PCHS is treated as a county department and held to the same reporting standards (except for human resources) as all other departments. The PCHS Executive Director is considered a County Department Head and participates in all department head meetings. The current structure has been a long-standing, successful relationship recognized by both the county and the state as an appropriate and effective management model, and one which meets the requirements of the law per Section 331.393(7), as was approved by the Department of Human Services (DHS) in the application to be exempt from being in a multi-county region.

#### **Regional Administrative Staff**

The Polk County Health Services staff work together to create and support the Polk County MHDS system of care. PCHS employs staff with varying backgrounds, skills, and expertise necessary to carry out the functions of the Region, including those granted to coordinators of disability services in Section 331.390.3b. Current staff and their positions will be kept up-to-date in the Operations Manual.

The Region may employ or contract with persons or entities (including contracting with Polk County employees to provide services to the Region) to staff the needs of the Region. Staff shall include one or more coordinators of disability services and one or more coordinators of children's behavior health, either hired directly by the Region or provided to the Region by the county. Coordinators must have a bachelor's or higher degree in human services related or administrative related field. In lieu of a degree in administration, a coordinator may provide documentation of relevant management experience.

Staff's responsibilities include, but not limited to: communications; Strategic Plan Development; Budget Planning and Financial Reports; Operations – personnel, benefits, space, training, etc.; Risk Management; Compliance and Reporting; Service Processing; Authorization and Access; Provider Network – development, contracting, quality and performance; Payment of Claims; Quality Assurance; Appeals and Grievances; Information Technology; and Manage performance-based contracts for services not funded by the medical assistance program with the department any other funding source.

Polk County Health Services, herein referred in this document as the Polk County Region, utilizes a decentralized service system where there is no wrong door to access services. The Polk County Region PCHS contracts with agencies that employs over 10082 coordinators of services. Through contracts, giving authority has to been given to targeted case management agencies, integrated health home agencies, and service coordinator agencies to act on the Polk County Region's PCHS' behalf, as coordinators of services. PCHS The Polk County Region staff provide on-going training to the coordinators of services regarding system values, policies and procedures, available services and providers. The Polk County Region PCHS staff also review requests for service authorizations, policy exceptions, and appeals.

## **B. Service System Management**

Section 331.393, *Code of Iowa*, prescribes the management and administrative requirements for regions and for counties exempt from being in a region. Paragraph 7 states that the region, or exempt county, "may either directly implement a system of service management and contract with service providers, or contract with a private entity to manage the regional service system, provided all requirements of this section are met by the private entity." The administrative structure in Polk County is a combination of the "direct report" and "contracted" approaches. PCHS is treated as a county department and held to the same reporting standards (except for human resources) as all other departments. The Board of Supervisors Polk County MHDS

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~~Regional Governing Board~~ directly enters into contracts with provider agencies and the ~~Polk County Region~~ ~~PCHS~~ and Polk County Regional CEO and Administrative Staff monitors the contracts. ~~In a few instances, the Polk County Region the PCHS Board is also a party to the contract. The current structure has been a long-standing, successful relationship recognized by both the county and the state as an appropriate and effective management model, and one which meets the requirements of 331.393, as it was approved in the application to be exempt from being in a multi-county region.~~

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### **Risk Management and Fiscal Viability**

This section is not applicable. ~~The Polk County Region~~ Polk County Health Services will directly administer the Regional Management Plan. ~~The Polk County Region PCHS does not intend to contract management responsibility for any aspect of the managed system of care to any agency or entity. The Polk County Board of Supervisors~~ Governing Board will retain full authority for the regional system of care and the associated fixed budget.

### **Conflict of Interest**

~~Funding authorization decisions will be made by the Polk County Region the PCHS staff, who will have no financial interest in the services or supports to be provided. In the event that such a situation occurs, that interest will be fully disclosed to the individuals, regions, and other stakeholders. Funding authorization decisions will be made by the Polk County Regional CEO and Administrative Staff, who will have no financial interest in the services or supports to be provided. In the event that such a situation occurs, that interest will be fully disclosed to the individuals, regions~~ Governing Board, and other stakeholders. This provision/term also applies to any private entity that has been contracted by the Region to manage the Region's Mental Health and Disability Service system.

### **System of Care Approach Plan**

**Mission:** Polk County Health Services ~~MHDS Region~~ exists to support improved access to health care and to promote full citizenship for people with mental illness, intellectual disabilities or developmental disabilities.

**Vision:** ~~We promote this mission to serve people with disabilities by:~~

- Partnering with community service organizations, people with disabilities, their families, and the community to promote improved health care and integrated living and working opportunities.
- Identifying, developing, and maintaining efficient, effective, and responsive service delivery systems.
- Advocating for their rights and educating the larger community to increase acceptance and full participation within the community.

**Our Core Values are as follows:**

- **Self-sufficiency is the cornerstone to full \*citizenship in the community.** ~~We, Polk County MHDS Region~~ provides learning opportunities, support, and resources for people with disabilities to reach their maximum potential and to realize their individual value to the community. ~~We, Polk County MHDS Region~~ also promotes community acceptance through advocacy and education. (\*Citizenship is the quality of an individual's behavior as a citizen with its duties, rights, and privileges.)
- **Collaboration and accountability are essential for achieving quality outcomes.** Collaborative relationships that benefit the whole community are grounded in mutual respect, cooperation, and trust. Listening and responding to all stakeholder feedback, in balance with legal and fiscal responsibilities, promotes collaboration and accountability.

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- **All informed choices come with opportunity and responsibility.** Learning is more powerful and lasting when it is real and personal. We foster growth and change by helping people make informed choices and supporting them through the natural consequences of decision making.
- **Continuous innovation allows for system improvement, flexibility, and responsiveness.** We are leaders in the pursuit of performance excellence, improvement, implementation, and innovation through continuous learning and outcome evaluation.

~~The Polk County Region~~ Polk County MHDS Regional Governing Board will provide leadership and management at the local level for designing a regional system of care for Mental Health and Disability Services. The design of the system will be based on the expectation that individuals and families will have multi-occurring issues ~~of all kinds~~, and will incorporate an organized quality improvement partnership process to achieve the ~~vision defined at the beginning of this Plan~~ mission and vision.

Within this vision, ~~the Polk County~~ Polk County MHDS Region ~~Region~~ PCHS will work in partnership with providers and other stakeholders to develop services that are:

- Welcoming and accessible.
- Able to emphasize integrated screening, early identification and early intervention.
- High quality and, wherever possible, evidence-based practices that the Polk County MHDS Region PCHS has verified meet established fidelity standards including, but not limited to:
  - Assertive Community Treatment or strength-based case management
  - Integrated treatment of co-occurring substance abuse and mental health disorders
  - Supported employment
  - Family psychoeducation
  - Illness management and recovery
  - Permanent supportive housing
- Organized into a seamless system of community based support.
- Individualized to each individual with planning that expands the involvement of the individual.
- Provided in the least restrictive, appropriate setting.
- Designed to empower individuals and families as partners in their own care.
- Designed to leverage multiple financing strategies within the region including increased use of Medicaid funded services and the Iowa Health and Wellness Plan. Supported by the provision of training and technical assistance to individuals and families, as well as to providers and other partners.

#### **Developing an Integrated Multi-Occurring Capable Trauma Informed System of Care**

The Polk County MHDS Region PCHS will maintain a service delivery approach that builds partnerships within a quality improvement framework to create a broad, integrated process for meeting multiple needs. This approach is based on the principles of interagency collaboration; individualized, strengths-based practices; cultural competence; community-based services; accountability; and full participation of individuals served at all levels of the system. The Polk County MHDS Region Polk County Region PCHS will work to build the service delivery infrastructure needed to result in positive outcomes for individuals served.

Becoming a welcoming, multi-occurring, trauma informed competent system requires a commitment to a transformational change process. Therefore, ~~the Polk County Region~~ PCHS ~~the Polk County Regional CEO and Administrative Staff will support the Polk County MHDS Region's~~ and its provider network partners to coordinate provider staff training through the Polk County Positive Behavior Support (PBS) Network Academy. The PBS Network Academy has provided training on supporting people with complex needs since 2005. On-going trainings in the areas

of Universal Enhancement, Positive Behavior Support, Trauma Informed Care, Multi-Occurring Capable Services, and Motivational Interviewing take place throughout the year. In addition, the PBS Network Academy ~~has provided~~[provides a nationally recognized, competency-based Frontline Leadership Supervisor Credentialing Institute training program](#) to prepare key people in each agency to lead the transformational change process within the region; staff with the skills needed to be trauma informed and able to serve those with multi-occurring issues. If these efforts do not result in a sufficient number of providers trained in the provision of co-occurring and/or trauma-informed care, PCHS will identify additional strategies to ensure their availability.

~~The Polk County MHDS Region~~ ~~Polk County Region~~ PCHS will collaborate to ensure the authorized services and supports are responsive to individuals' needs consistent with system principles and are cost effective. ~~The Polk County MHDS Region~~ ~~Polk County Region~~ PCHS will partner with stakeholders, as follows:

#### Regional Service Systems

The ~~Polk County MHDS Region~~ ~~Polk Region~~ will collaborate with other Regions to provide for smooth transitioning for individuals from one Region to another to ensure continuity of care. The ~~Polk County MHDS Region~~ ~~Polk Region~~ also collaborates with adjoining regions when Network agencies provide services in multiple counties. The collaboration is intended to develop and maintain consistent intake, billing and rate setting processes. ~~These meetings are ongoing.~~

#### Individuals, Families, Authorized Representative and Advocates

The ~~Polk County MHDS Region~~ ~~Polk Region~~ collaborates with individuals receiving services, families, authorized representative and advocates in several ways. Polk County ~~MHDS Health Services Region~~ ~~is the designated Targeted Targeted Case Management provider and~~ has contracts with ~~six~~ agencies to provide ~~Targeted Targeted~~ Case Management, Service Coordination, or Integrated Services. It is through these contracts that collaboration at the individual level occurs to insure that people develop a service plan. At a systems level, collaboration occurs by providing individuals and their representatives or advocates opportunities to shape service delivery through strategic planning forums and satisfaction survey interviews.

#### Iowa PlanHealth Link

Prior to authorizing county-financed services, treatment providers and coordinators of services must request that the Medicaid managed care company pay for ~~Iowa Plan~~[Iowa Health Link](#)-covered services for eligible individuals and pursue all available levels of appeal in the event of denials by the Medicaid managed care company. ~~Polk County Regional CEO and Administrative Staff~~ ~~The Polk County Region~~ PCHS will monitor the utilization of programs that constitute supported community living and those that are part of special initiatives to ensure proper coordination with county-financed services. Polk County does not supplement rates nor does it pay for services provided to individuals who have been decertified based on the contractor's medical necessity criteria.

#### Third-party Payers

Prior to authorizing county-financed services, treatment providers and coordinators of services must seek approval from Medicaid, Medicare, or any other third-party payer for any service that is similar to the county-financed services being considered. If a provider licensed or certified by the state loses that license or certification and, as a result, may no longer participate in the Medicaid or Medicare program or be eligible for reimbursement from third party payers, Polk County will not assume financial responsibility for the portion of the service costs which could have been billed to Medicaid or Medicare or third party payers. If a provider has responsibility for filing reports necessary to maintain Medicaid eligibility for an individual and fails to do so,

resulting in the individual's loss of Medicaid, the county will not assume financial responsibility for the share of service costs which could have been billed to Medicaid.

#### Chemical Dependency Substance Use Services

~~The Polk County~~ MHDS ~~RegionPCHS~~ will offer training and technical assistance to encourage all network providers to be capable of serving individuals with multi-occurring disorders, including ~~chemical dependency~~~~substance use disorder~~. Polk County will pay for mental health and intellectual/developmental disability services that fully integrate ~~chemical dependency~~~~substance use~~ treatment and recovery supports. Polk County will not authorize admissions to a dual diagnosis program or a substance ~~abuse~~ residential treatment center for individuals who need to take medication to treat a mental illness until the program demonstrates the capability of providing evidenced-based integrated treatment of co-occurring substance ~~abuse~~ and mental health disorders that has been independently verified as meeting established fidelity to the model.

#### Judicial and Criminal Justice System

~~The Polk County~~ MHDS ~~RegionPCHS~~ ~~will partners~~ with the courts to ensure alternatives to commitment and to coordinate funding for services for individuals under commitment. To better coordinate services between the mental health system and the judicial system, ~~The Polk County RegionPCHS~~ ~~Polk County MHDS CEO and Administrative Staff~~ ~~facilitates~~ the development of protocols for identifying county jail inmates needing mental health treatment and for securing such treatment. Mental health evaluation and treatment services are provided at the Polk County Jail through a contract with a qualified provider. Provider staff use the Polk County management information system to determine whether new inmates also receive mental health services in the community and to ensure continuity of treatment while in jail. Coordinators of service are notified through the management information system when individuals they serve are booked into ~~and released from~~ the Polk County Jail.

#### Hospitalization

Broadlawns is Polk County's designated hospital for involuntary hospitalizations under Sections 229.11 and 229.13, *Code of Iowa*. Other hospitals may be used if requested by individuals/families so long as they have third-party coverage accepted by that hospital. Polk County does not assume any financial responsibility for voluntary or involuntary hospitalization of Polk County residents in private hospitals, unless diverted from Broadlawns. Transportation to return home will be the responsibility of the individual served. If a person has legal residence in Polk County but is physically residing in another county, the Polk Region will advise the appropriate care coordinator and/or family that a local private hospital is the first choice if the individual is eligible for Medicaid or other insurance and that a state mental health institute is to be used only as a last resort or if there is no Medicaid or other insurance eligibility.

~~Polk County Regional CEO and Administrative staff~~ ~~The Polk County RegionPCHS~~ ~~has asked-~~ ~~the works with the~~ judicial system to work with coordinators of service prior to ordering long-term placement for MH/ID/DD community living services and has encouraged the courts to provide more information when referring for outpatient evaluation or treatment.

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### Housing

~~The Polk County MHDS RegionPCHS will continue to work~~ with the Des Moines Public Housing Services to ensure appropriate access to public housing programs. Coordinators of service will continue to meet regularly with Housing Services staff to resolve client-related issues. Coordinators of service ~~will~~ also assist individuals in accessing rent subsidies through the Housing Support Program, Iowa Finance Authority and the Shelter Plus Care program.

### Employment

~~The Polk County MHDS RegionPCHS will continue working~~ with local and regional Workforce Development initiatives that support integrating employment, training, education, and support services for all job seekers, workers, and employers, in accordance with the Workforce Investment Act. ~~The Polk County MHDS RegionPCHS will advocate that this include integrating services for people with disabilities.~~

Coordinators of service and providers ~~will~~ use other federal, state, and private funding sources and programs that encourage competitive and supported employment. This may include ~~Ticket-to-Work, Social Security Work Incentives, and Medicaid.~~

### Education

~~The Polk County MHDS RegionPCHS will continue~~ its involvement with the Transition Advisory Committee and will continue working with schools and Vocational Rehabilitation on transition plans for individuals in special education who will be leaving the school system. Additionally, ~~The Polk County MHDS RegionPCHS will continue~~ to support post-secondary education efforts for people with disabilities, including DMACC's Community and Workforce Partnership efforts and the University of Iowa REACH program.

### Transitioning Youth to the Adult System

~~The Polk County MHDS RegionPCHS will continue to work working~~ with IDHS social workers ~~and Juvenile Court Officers~~ in transitioning youth to the adult system, and will continue being a resource to explore options for children with complex needs. ~~The Polk County MHDS RegionPCHS participates in weekly transition meetings facilitated by IDHS to ensure youth needing adult services are referred to the appropriate resources and services. The transition meetings rely on collaboration between IDHS, Juvenile Court, the education system, youth system providers, adult system providers, and managed care organizations. has developed written protocols and procedures for the child welfare system to make referrals to the adult system in a timely manner.~~

### Decentralized Service Provisions

~~The Polk County MHDS RegionPCHS will strive to provide~~ services in a dispersed manner to meet the minimum access standards of core services ~~as adequate rates and funding are available. by utilizing the strengths and assets of the regional service providers. Polk County Regional CEO, Regional Administrative staff, Polk County Health Services and providers will work cooperatively to ensure that various service options are geographically distributed through the county. This is particularly true for various housing options, so individuals may live in the community of their choice.~~

### Utilization and Access to Services

Within the broad ~~service management no wrong door~~ system approach outlined above, ~~the Polk County Regional CEO and Administrative StaffPCHS will oversee access and utilization to services, and physical, mental, and social well-being-population-based outcomes, for the MHDS involved population in the region, in order to continuously improve system design and better meet the needs of people with complex challenges. In order to accomplish this, The Polk County MHDS RegionPCHS will integrate planning, administration, financing, and service delivery using utilization reports from both the region and the state including the following:~~

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- Polk County MHDS Regional Providers;
- Available Behavioral Health and Disability Services;
- Funded Behavioral Health and Disability Services; and
- Unduplicated counts of individuals served by age and population group.
- ~~Inventory of available services and providers.~~
- ~~Utilization data on the services.~~

Results will be analyzed to determine if there are gaps in services or if barriers exist due to:

- Service offered.
- Adequate provider network.
- Restrictions on eligibility.
- Restrictions on availability.
- Location.

This information ~~will be~~ used for future planning in the annual service budget plan, improving the system of care approach plan, collaboration with agencies, decentralizing service provisions, and; provider network formation. In addition, the data elements, indicators, metrics and performance improvement for improved community whole health wellness population management will be continuously improved over time as the region develops increasing capability for managing the needs of its population.

At the individual person level, Targeted Case Managers, Service Coordinators and IHH-Intensive Care Coordinators serve as gatekeepers to Region and State funded community-based services, as identified in and within the access times set forth in the Polk Region Annual Service and Budget Plan. All Region funded authorizations for community-based services are subject to a second level review process by Polk County Regional CEO and Administrative ~~Polk County Health Services.~~ Providers of inpatient and outpatient treatment services have delegated authority to determine admission for services. Inpatient psychiatric services that the Region pays for, whether voluntary or involuntary, are subject to review for medical necessity.

### **C. Financing and Delivery of Services and Support**

Non-Medicaid mental health and disability services funding will be under the control of the Polk County Board of Supervisors MHDS Regional Governing Board in accordance with Iowa Administrative Code 441-25.13 (331.391). The Polk County Board of Supervisors will retain full authority and financial risk for the Plan. The finances of the Region will be maintained to limit administrative burden and provide public transparency.

The Polk County Region ~~The PCHS~~ Chief Executive Officer and Administrative Team ~~Regional Administrative Staff~~ will prepare a proposed annual budget, with priority given to core services and core populations as defined by Chapter 25. The proposed budget will go to the Advisory Committees for review and recommendation to the Polk County MHDS Regional Governing Board. The proposed budget will be reviewed by ~~the~~ the Polk County Region's PCHS Board of Directors for recommendation to the Polk County Board of Supervisors for final approval. ~~The Team~~ The Polk County Region PCHS CEO and Regional Administrative Staff will be responsible for managing and monitoring the adopted budget, in accordance with the directions of the Regional Governing Board.

Services funded by the Polk County MHDS Region PCHS are subject to change or termination with the development of the regional MHDS budget each fiscal year for the period of July 1 to June 30.

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### Accounting System and Financial Reporting

The accounting system and financial reporting to the Departments of Management and Human Services conform to Iowa Code 441- 25.13 (2) (331.391) and include all non-Medicaid mental health and disability expenditures funded by the Region. Information is separated and identified in the most recent Uniform Chart of Accounts approved by the State County Finance Committee including but not limited to expenses for administration and the purchase of services.

Polk County uses a web-based management information system that supports demographic, financial, and clinical information for a managed care service delivery structure. The system supports a decentralized system that allows the access points to be on-line to determine service eligibility, to enroll individuals, to authorize services, and to process claims. Claims data is electronically transmitted to the County Auditor's accounting system to issue payment. In addition, PCHS can access the system to perform second level utilization review for selected services and situations and to monitor the quality and effectiveness of provider services and supports. Should the need arise, the system manages waiting lists according to specific priorities, and allows for future service delivery method changes and accounting changes. It provides flexible reporting and query capabilities to accommodate the ever-changing reporting needs of the County and the State of Iowa. The system has varying levels of security to permit users to access only at the level that they have authorization.

### Contracting

Polk County MHDS Regional Governing Board will contract with MHDS providers whose base of operation is in the region. Polk County MHDS Regional Governing Board may also honor contracts that other regions have with their local providers or may choose to contract with providers outside of the Region. A contract may not be required with providers that provide one-time or as needed services.

Over the past several years, Polk County MHDS Region has used will use its contracting capacity to implement a series of strategies for moving towards outcomevalue-based payments. Polk County MSDS Region uses a mix of fee-for-service, fee-for-service with performance payments, and capitated case rates for most of its services. It provides block grants only for specific population based activities where billing by individual served is impossible or impracticable. Non-traditional provider contracts are used in instances when services are provided by individuals or families.

### Funding

Funding will be provided for appropriate, flexible, cost-effective community services and supports to meet individual needs in the least restrictive environment possible. The Polk County MHDS Region PCHS recognizes the importance of individualized planning for services and supports to empower all individuals to reach their fullest potential.

An individual who is eligible for other publicly funded services and support must first apply for and accept such funding and support. Failure to do so will render the individual ineligible for regional funds for services that would have been covered under funding, unless the region is mandated by state or federal law to pay for said services.

Individuals, who are in immediate need and are awaiting approval and receipt of assistance under other programs, may be considered eligible if all other criteria are met.

The Polk County MHDS Regional Governing Board PCHS will be responsible for funding only those services and supports that are authorized in accordance with the process described in the MHDS Plan, within the constraints of budgeted dollars. Polk County will be the funder of last resort and regional funds will not replace other funding that is available.

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## **D. Enrollment**

### **Application and Enrollment/Timeframes**

Individuals residing in Polk County or their legal representatives may apply for services at any of the designated access points identified in the Annual Service and Budget Plan and Attachment A of this document. ~~Intake staff at any of the designated access points may also independently identify individuals potentially eligible for county services, and may offer them an intake and referral.~~ All individuals presenting at or referred to designated access points will be informed of their right to apply for services. The applicant will complete a Regional application with assistance from access point staff as needed. If additional information is needed to complete an application, the access point staff will inform the applicant and assist in obtaining said information as needed. Failure to provide the information needed to fully complete the application may result in a delay or denial of funding.

[The Polk County MHDS Region](#) ~~PEHS~~ will maintain a central enrollment file within the management information system available to all access points. Applicants will be informed that certain administrative information will be shared on a need to know basis with other access points, other providers, other funding sources and regions, and [the Polk County MHDS Region](#).

#### PCHS:

Access points will be open during normal working hours and will have such other evening and weekend hours as they determine are needed. The Crisis Service at Broadlawns Medical Center will be available for intake on a 24 hour, 365 day basis, and will serve as the after-hours intake mechanism for Polk County. Access points will determine eligibility in a timely manner, using the criteria and process outlined in Section E (Eligibility).

The access point staff will enter the Regional application into the management information system the same day that the application is complete and will determine whether or not the individual is eligible for county funding within ten days. Eligibility determination shall be done by access point staff who have been trained by PCHS.

If the individual does not have a current legal residence determination on file, the Regional application will be referred to county personnel responsible for determining legal residence. County of legal residence or state case status need not be resolved prior to providing services. However, if it appears that an individual might not have legal residence in Polk County, treatment providers and coordinators of services will work with the potential county of legal residence to pursue funding by that county's region and possible transfer to a coordinator of services designated by that region.

Individuals who meet the threshold eligibility criteria specified in Section E (Eligibility) may be enrolled in the PCHS service system. If the intake worker is unsure about whether threshold eligibility criteria are met, a referral for further assessment may be made. The referrals may be made to an approved provider of evaluation services, to PCHS, or to one of the providers that coordinates services.

If an individual meets the threshold eligibility criteria and wishes to receive services, the intake worker at the access point will enroll the individual and perform a standardized functional assessment that will be the foundation for authorized services. All individuals served using any portion of county funds must be entered into the management information system, however formal enrollment is not necessary prior to initiating emergency or crisis stabilization services even if it is ultimately determined that the individual does not meet the threshold eligibility criteria. Individuals receiving outpatient and related services at the Community Mental Health Centers (CMHCs) must also be enrolled, even if the CMHC is not requesting authorization requiring second-level review and approval.

#### **Notice of Enrollment Decision**

The access point determining eligibility will send to all applicants, or their authorized representatives, written notices of the enrollment decision within ten days of a completed application. If the individual is being placed on a waiting list for funding, the notice of decision will include an estimate of how long the individual is expected to be on the waiting list and the process for the individual or authorized representative to obtain information regarding the individual's status on the waiting list.

The written notice of decision will contain clear information on the process to appeal any decisions of the access point or [the Polk County MHDS Region PCHS](#) with regard to the application. The access point will assist any individual wishing to appeal in processing the appeal. Individuals wishing to appeal will also be assisted to find outside advocacy or representation if they so wish in the appeals process.

#### Referral

If applicants meet the threshold eligibility criteria and need treatment services, the access point will refer them to appropriate services within the agency or to another treatment provider. If individuals need other services or supports and are eligible for case management or integrated

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health home, the access point will inform them of the case management or integrated health home provider options and refer them to the appropriate agency. If the individuals need other services or supports and are not eligible for case management or integrated health home, the access point will refer the individuals to service coordination.

If applicants meet the threshold eligibility criteria and need services for which there are waiting lists, they will be enrolled at the access point and then referred to appropriate services within the agency, referred to other services as appropriate, or referred to PCHS for further service authorization, review, or placement on the central waiting list.

### **Service and Functional Assessment**

If an individual is referred to an case management, integrated health home, or service coordination, a standardized functional assessment adopted by [the Polk County MHDS RegionPCHS](#) will be completed within 90 days of application. The results will determine the need for services including the type and frequency of service in the individual's case plan.

PCHS will maintain a Level of Support grid, which identifies the services available to individuals, as determined by the standardized functional assessment process. Coordinators of services will comply with the Level of Support grid when requesting or authorizing services, regardless of funding source. The Level of Support grid is available in the management information system. Inpatient treatment services must be reviewed by a professional utilization review company, as identified in the Annual Plan and Budget.

All individuals who receive ongoing MHDS services will have an individualized plan which identifies the individual's needs and desires and sets goals with action steps to meet those goals. Eligible individuals who request or accept the service may be referred to [targeted targeted](#) case management, integrated health home care coordination, or service coordination.

If an individual whose county of residence is Polk County and is physically living in Polk County elects to receive Targeted Case Management from an agency designated by another region, the service provider(s) will be responsible for reporting any outcome data that may be required by PCHS. This stipulation is in place so that PCHS can receive individual outcome data to determine the performance of service providers. Our outcome measurement system is based on entries made into the PCHS data base by Polk County service coordination entities (Targeted Case Managers, Service Coordinators and Intensive Care Coordinators). If a person has Targeted Case Management from an agency that does not have access to the PCHS data base, we will rely on the Polk County service provider to give us outcome data. However, any individual residing in Polk County who wishes to receive county-funded services must have a coordinator of services in a designated Polk County agency. This stipulation is in place to insure that we will get 100% outcome data for any 100% County funded service. For individuals with Polk County residency who physically live outside of Polk County, PCHS staff will work with the targeted case managers or integrated health home staff to authorize services. Generally, outcomes are not tracked for individuals who physically live outside of Polk County.

Individuals with state case status must receive enrollment and service planning and authorization in accordance with the state payment program rules in Iowa Administrative Code 441-153. The Polk County system will manage non-Medicaid services for individuals physically residing in Polk County who are enrolled in the state payment program using the same policies and procedures used to manage services to individuals whose county of residence is Polk County, within the funds available through the state payment program.

Coordinators of service will invite providers to participate in the development of the individual's Individual Comprehensive Plan (ICP) [service plan](#) to ensure effective coordination. Individualized plans for services and supports to address multi-occurring issues of all kinds will be developed and implemented together with the individuals, guardians, family members, and providers. The

individual will be asked to actively participate in the development of the individualized plan. Individuals who are adults and have no guardian or conservator may elect to involve family members in the service planning process, and to approve the final plans. If the individual has a guardian or conservator, or is otherwise unable to give informed consent, the designated guardian, parent, or other representative will approve the plan. Individuals may be represented by advocates, other representatives, friends or family during the service planning process.

~~Each plan for an individual receiving services under the Polk County Regional Management Plan will specify the time frames for utilization review and re-authorization of the plan or individual services within the plan. In no case will the time frame for reviewing certain services extend beyond the thresholds adopted by PCHS.~~

#### **Service Funding Authorization**

Authorization of services provided under contracts or other arrangements with the Polk County Department of Community, Family and Youth Services will be made using the procedures prescribed by that department.

Treatment providers and coordinators of services ~~may directly authorize other services as designated by the Polk County MHDS RegionPCHS.~~ In some ~~instances~~instances, second level review and approval by qualified ~~the Polk County RegionPCHS staff~~the Polk County Region CEO and Regional Administrative Staff or special approval by the Service Appeal Board are required. The coordinator of services is responsible for seeking such approvals. The coordinator of services is also responsible for getting approval for and coordinating services that are funded through other funding streams.

Individuals presenting at the CMHCs may be authorized by CMHC clinical staff to receive services outlined in the contract ~~as clinically necessary.~~ ~~PCHS and the CMHCs will periodically review utilization of outpatient services to determine if referral to more intensive services might be indicated.~~

In some instances, it may be necessary to consider funding services that are not covered in the Polk County ~~MHDS~~ Regional Management Plan. Service Appeal Board review is required for any circumstance in which Polk County funds are to be authorized, allocated, or expended, and:

1. The specific service needed is not included in the service system definition in the Regional Management Plan; or
2. The chosen provider does not have a contract with Polk County for the specific service needed; or
3. The service is to be provided outside the boundaries of Polk County and the individual will retain legal residence in Polk County.

The Polk County Service Appeal Board will conduct reviews of all proposals to obligate Polk County funds to any service plan that meets one or more of the above criteria. The Service Appeal Board is comprised of one county Supervisor and four other members appointed by the Board of Supervisors. ~~The Polk County Region CEO and Regional Administrative Staff Polk County Region PCHS~~ provides staff for the Service Appeal Board. The Service Appeal Board meetings are closed meetings in accordance with Chapter 21, *Code of Iowa* for the purpose of considering confidential client information. If the individual needs services and it is not in the best interest of the individual to wait for the Service Appeal Board to meet to review the request in accordance with the above criteria, ~~the Polk County Region CEO and Regional Administrative Staff Polk County RegionPCHS staff~~ may grant emergency approval pending ratification by the Service Appeal Board at their next meeting. In addition, ~~the Polk County Region CEO and Regional Administrative Staff Polk County RegionPCHS~~ may authorize services if the individual has already been presented to the Service Appeal Board, meets at least one of the above three

criteria and the requested service or service change is less than an annual cost of \$7,500 to Polk County. A report will be submitted to the Service Appeal Board monthly detailing the services authorized by [the Polk County MHDS Region PGHS](#), reason for the authorization, number of units approved and the cost to Polk County. The Service Appeal Board will monitor the level of administrative authorization.

If the Service Appeal Board approves the request, or modifies the initial plan but maintains some level of commitment of county funds to the service plan, the plan is forwarded to the ~~County Board of Supervisors~~ [Polk County MHDS Regional Governing Board](#) for final approval. No administrative appeal is available relative to the Service Appeal Board's final decision.

#### **Notice of Service Decision**

The coordinator of services will issue Notices of Decision to inform the individual, the individual's authorized representative, and service providers of the approved services, service providers, rates and units of services approved. The Notices will include a copy of the region's appeal process and notice that they have the right to appeal the decision.

~~The elapsed time from the completion of the individualized plan to service authorization will not exceed 10 working days.~~ Service start dates will be negotiated by the service provider, authorizing entity and the individual. Services necessary to address immediate needs for stabilization and support will be initiated as outlined IAC 441-25.21(1)c.3.

#### **Re-enrollment**

Treatment providers and coordinators of service must maintain up-to-date eligibility information in the management information system. This includes address, insurance, and financial information. Information in the system must be updated as changes occur, and at least annually.

#### **Co-payment for Services**

Any co-payments or other client participation required by any federal, state, region, or municipal program in which the individual participates will be required to be paid by the individual. Such co-payments include, but are not limited to:

- Client participation for maintenance in a residential care facility through the State Supplementary Assistance Program.
- The financial liability for institutional services paid by counties as provided in Iowa Code section 230.15.
- The financial liability for attorney fees related to commitment as provided by Iowa Code section 229.19.
- Client income is over the established guidelines based on a sliding fee scale.

Co-payments in this section are related to core services to target populations as defined in Iowa Code 331.397. No co-payment will be assessed to individuals with income equal to or less than 150 percent of the federal poverty level, as defined by the most recently revised poverty income guidelines published by the U.S. Department of Health and Human Services.

Individuals with income over the established guidelines may be eligible for services on a sliding fee scale, which will be updated and available in the management information system.

#### **Exception to Policy**

An exception to policy may be considered in cases when an individual is significantly adversely affected by a Polk County MHDS Region policy. To request an Exception to Policy, the individual will work with the treatment provider or the individual's coordinator of service will submit the

following information as a Request for Director's Exception in the management information system:

- Individual's name
- Current services the individual is receiving
- The policy for which the exception is being requested
- Reason why the exception should be granted

The Polk County Region CEO and Regional Administrative Staff ~~the Polk County Region PCHS staff Executive Director~~ will review the exception and a response will be given to the individual who submitted the request and that individual will inform the individual within 10 working days. Decisions on requests will be used in the annual report to identify future changes in policy.

#### **Confidentiality**

~~The Polk County~~ MHD ~~Region PCHS~~ is committed to respecting individual privacy. To that end, all persons, including ~~PCHS~~ ~~the Polk County Region CEO and Regional Administrative Staff Polk County Region staff~~, the Polk County Board of Supervisors ~~MHDS Regional Governing Board~~, the ~~Polk County Region PCHS Board of Directors~~, and others with legal access to individual information, will have an obligation to keep individual information confidential. Information will only be released in accordance with HIPAA and other federal and state laws and in accordance with professional ethics and standards. Confidential information will be released only when it is in the best interest of the individual to whom the information pertains or when required by law.

Confidential information may be released without written permission of the individual or their guardian for medical or psychological emergencies and inspection by certifying or licensing agencies of the state or federal government.

Individual files will be maintained for seven years following termination of service to the individual.

Procedures to assure confidentiality include:

- An individual's (or their legal guardian's) written consent will be obtained prior to release of any confidential information, unless an emergency as stated above.
- Information or records released will be limited to only those documents needed for a specific purpose.
- Individual, or an authorized representative, will be allowed to review and copy the individual record.
- Individual and related interviews will be conducted in private settings.
- All discussion and review of an individual's status and/or records by ~~the Polk County Region CEO and Regional Administrative Staff Polk County Region PCHS staff~~, coordinators of service, and others will be conducted in private settings.
- All paper and computer files will be maintained in a manner that prevents public access to them.
- All confidential information disposed of will be shredded.
- Steps will be taken to assure that all fax, email, and cellular phone transmissions are secure and private.
- Staff will receive initial and ongoing training concerning confidentiality and staff will sign a statement agreeing to confidentiality terms.

In order to determine eligibility for regional funding, to perform ongoing eligibility review, and to provide service coordination and monitoring, individuals or their authorized representatives will be asked to sign release forms. Failure of individuals to sign or authorize a release of

information will not be an automatic reason for denial; however, ~~the Polk County Region~~ [PCHS Polk County Region CEO and Regional Administrative Staff](#) 's staff's inability to obtain sufficient information to make an eligibility determination may result in denial of regional funding.

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## **E. Eligibility**

The following threshold criteria must be met to determine if an applicant is eligible for enrollment in the Polk County [MHDS](#) Regional service system.

### **General Eligibility**

Access point staff will review the application to determine if the applicant meets the general eligibility criteria as follows:

#### **1. Age**

- a. ~~The individual is at least eighteen years of age.~~
- b. ~~The individual is 17 years, nine months of age and is receiving publicly funded children's services, to provide a smooth transition from children's to adult services.~~
- c. ~~a. An individual under 18 years of age. This age group was eligible for limited services under the Polk County Management Plan and continues to be eligible in accordance with IAC 441-25.21(1)2-Polk County Health Services.~~  
MHDS Region serves all individuals meeting the definition of adult and child in 441-25.1(331)

#### **2. Adult:**

##### **Residency**

The Residency: The individual's county of residence is Polk County. "County of residence" means the county in Iowa in which, at the time a person applies for or receives services, the person is living and has established an ongoing presence with the declared, good faith intention of living in the county for a permanent or indefinite period of time. The county of residence of a person who is a homeless person is the county where the homeless person usually sleeps. A person maintains residency in the county in which the person last resided while the person is present in another county receiving services in a hospital, a correctional facility, a halfway house for community-based corrections or substance-related treatment, a nursing facility, an intermediate care facility for persons with an intellectual disability, or a residential care facility, or for the purpose of attending a college or university (IC 331.394(1)a).

### **Financial Eligibility**

Unless otherwise specified in law, Polk County is always the funder of last resort. Individuals will be expected to access any other funding streams for which they are eligible. Eligibility for county funding of other services depends on the individual's income and resources. Access point staff will review the application to determine if the applicant meets the financial eligibility requirements in IAC 441-25.16.

#### **1. Income Guidelines: (IC 331.395.1)**

Gross income is at or below 150% of the current Federal Poverty Guidelines. Applicants with incomes above 150% may be charged a fee for services, in accordance with a sliding fee scale contained in the Polk County Operations Manual.

The income eligibility standards specified herein will not supersede the eligibility guidelines of any other federal, state, county, or municipal program. The income guidelines established for programs funded through Medicaid (Waiver programs, Habilitation Services, etc.) will be followed if different than those established in this manual.

In determining income eligibility, the average monthly income for the past 3 months will be considered, however, recent employment and/or income changes may be considered by the access point in determining income eligibility. Applicants are expected to provide proof of income (including pay stubs, income tax return, etc.) as requested by [the Polk County MHDS Region](#) [PCHS](#).

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## 2. Resources Guidelines: (IC 331.395)

Individuals must have resources that are equal to or less than \$2,000 in countable value for a single-person household or \$3,000 in countable value for a multi-person household. These amounts will change to match the most recent federal supplemental security income guidelines.

- a. The countable value of all countable resources, both liquid and non-liquid, will be included in the eligibility determination except as exempted below.
- b. A transfer of property or other assets within five years of the time of application with the result of, or intent to, qualify for assistance may result in denial or discontinuation of funding.
- c. The following resources will be exempt:
  - (1) The homestead, including equity in a family home or farm that is used as the individual household's principal place of residence. The homestead includes all land that is contiguous to the home and the buildings located on the land.
  - (2) One automobile used for transportation.
  - (3) Tools of an actively pursued trade.
  - (4) General household furnishings and personal items.
  - (5) Burial account or trust limited in value as to that allowed in the Medical Assistance Program.
  - (6) Cash surrender value of life insurance with a face value of less than \$1,500 on any one person.
  - (7) Any resource determined excludable by the Social Security Administration as a result of an approved Social Security Administration work incentive.
- d. If an individual does not qualify for federally funded or state-funded services or other support, but meets all income, resource, and functional eligibility requirements in this Plan, the following types of resources will additionally be considered exempt from consideration in eligibility determination:
  - (1) A retirement account that is in the accumulation stage.
  - (2) A medical savings account.
  - (3) An assistive technology account.
  - (4) A burial account or trust limited in value as to that allowed in the Medical Assistance Program.
- e. An individual who is eligible for federally funded services and other support must apply for and accept such funding and support.

### Diagnostic Eligibility

The individual must have a condition that meets the criteria of Mental Illness, Intellectual Disability, or Developmental Disability. Individuals who also have multi-occurring substance use disorders, brain injury, or physical disabilities, are welcomed for care and eligible for services. ~~When adequate funding is available, Polk County will explore the possibility of expanding eligibility to individuals with brain injuries.~~

#### Individuals with Mental Illness

Individuals who have had at any time during the preceding 12-month period a mental health, behavioral, or emotional disorder or, in the opinion of a mental health professional, may now have such a diagnosable disorder. The diagnosis will be made in accordance with the criteria provided in the diagnostic and statistical manual of mental disorders published by the American Psychiatric Association in effect at the time of diagnosis, and will not include the manual's "V" codes identifying conditions other than a disease or injury. The diagnosis will also not include substance-related disorders, dementia, antisocial personality, or developmental disabilities, unless co-occurring with another diagnosable mental illness.

#### Individuals with an Intellectual Disability

Individuals who meet the following three conditions:

1. Significantly sub average intellectual functioning: an intelligence quotient (IQ) of approximately 70 or below on an individually administered IQ test (for infants, a clinical judgment of significantly sub average intellectual functioning).
2. Concurrent deficits or impairments in present adaptive functioning (i.e., the person's effectiveness in meeting the standards expected for the person's age by the person's cultural group) in at least two of the following areas: communication, self-care, home living, social and interpersonal skills, use of community resources, self-direction, functional academic skills, work, leisure, health, and safety.
3. The onset is before the age of 18.

(Criteria from "Diagnostic and Statistical Manual of Mental Disorders, Fourth Edition-Revision (DSM-IV)," 1994 revision, American Psychiatric Association)

As the Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition, is used more widely, the specific IQ score will be part of the diagnostic process, but will not be part of the eligibility criteria. This will allow consideration of other factors that may limit performance, e.g., sociocultural background, native language, or associated communication disorders. ~~The third criteria above will change to be onset during the developmental period.~~ Severity levels will be based on adaptive function in the domains of social, conceptual, and practical skills.

#### Individuals with a Developmental Disability

Individuals who have a severe, chronic disability which:

1. Is attributable to mental or physical impairment or a combination of mental and physical impairments.
2. Is manifested before the person attains the age of 22.
3. Is likely to continue indefinitely.
4. Results in substantial functional limitations in three or more of the following areas of life activity: self-care; receptive and expressive language; learning; mobility; self-direction; capacity for independent living; and economic self-sufficiency.
5. Reflects the person's need for a combination of services which are lifelong or of extended duration.

This diagnostic group was eligible under the original Polk County Management Plan and continues to be eligible in accordance with IAC 441-25.21(1)2.

Access point staff will verify diagnosis with written documentation. If a copy of a psychological or psychiatric evaluation or other acceptable verification of diagnosis does not accompany the application, the access point staff may refer the applicant to an appropriate mental health professional for evaluation to verify and document a diagnosis.

~~A standardized functional assessment will be completed for each individual needing services more intense than treatment. Results of the assessment will be the foundation for authorized services, and will be incorporated into the individual's plan.~~

#### Child:

#### Residency: -

The child's custodial parent is a resident of the state of Iowa and the child is physically present in the state (25.15(2)b).

#### Financial Eligibility:-

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Unless otherwise specified in law, Polk County is always the funder of last resort. Families will be expected to access any other funding streams for which they are eligible. Eligibility for county funding of other services depends on the ~~families~~family's income. Access point staff will review the application to determine if the applicant meets the financial eligibility requirements in IAC 441-25.2(4).

1. Income Guidelines: (~~IAC 331.396~~7A)

Family gross income is at or below 500% of the current Federal Poverty Guidelines. The family of a child receiving regional funding for behavioral health services shall be responsible for a cost share amount based on their household income in accordance with a sliding fee scale contained in ~~in Iowa Code section 331.397A~~ IAC 441-25.16(3)b and the Polk County Health Services Polk County MHDS Region Operations Manual.

The income eligibility standards specified herein will not supersede the eligibility guidelines of any other federal, state, county, or municipal program. The income guidelines established for programs funded through Medicaid (Waiver programs, Habilitation Services, etc.) will be followed if different than those established in this manual.

2. Resource Guidelines: There are no resource limits for the family of a child seeking children's behavioral health services.

Diagnostic Eligibility:

The child has been diagnosed with a serious emotional disturbance, except for comprehensive facility and community based crisis services according to 331.397A (4)"b". Serious emotional disorder means the same as defined in Iowa code section 225C.2. (a diagnosable mental, behavioral, or emotional disorder of sufficient duration to meet diagnostic criteria specified within the most current diagnostic and statistical manual of mental disorders published by the American psychiatric association that results in a functional impairment. "*Serious emotional disturbance*" does not include substance use and developmental disorders unless such disorders co-occur with such a diagnosable mental, behavioral, or emotional disorder.)

## F. Appeals Processes

### Non Expedited Appeal Process

Definitions:

Aggrieved person is one who has a complaint regardless of whether the complaint is appealable or non-appealable.

Appealable issue:

1. Claims for financial assistance or services from Polk County have been denied.
2. Application for financial assistance or services from Polk County has not been acted upon with reasonable promptness.
3. Notification that Polk County will suspend, reduce or discontinue services or financial assistance.
4. Failure to take into account the person's choice in assignment to a lead agency or other similar Polk County program.
5. Other situations as determined by the ~~County~~Region.

Non-appealable issue:

1. Decisions regarding licenses or certification issues by DHS, DIA, or any other licensing or accrediting body.
2. Competence to engage in the practice of a discipline or profession.

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3. Diagnostic decisions.
4. Determinations by an individual provider that the provider cannot meet the needs of the individual.
5. Discharge decisions of providers.
6. Decision to place an individual on a waiting list.

**Right of appeal:** Individuals, families, representatives or advocates (with the consent of the individual) and providers may appeal appealable decisions as defined above. When a decision is made by the ~~County Region~~ to deny service, change the level of service, or to declare an individual ineligible for service, the individual must be given notice of the decision. The right to appeal must be spelled out in the notice of decision. Polk County Regional CEO and Administrative Staff ~~Polk County Health Services~~ and access points will provide written forms for appeals and information about the appeal process.

If the individual wishes to appeal he/she:

1. Must appeal within 90 days of the decision. If the appeal is made within 10 days, services will continue during the appeal process.
2. Must send the Polk County Regional CEO ~~Executive Director, Polk County Health Services~~, an appeal form or a letter containing:
  - 1) Current address and phone number.
  - 2) Description and date of disputed decision or action.
  - 3) Why the applicant thinks the decision was wrong.
  - 4) Copies of any documents that support the applicant's position.

#### Appeal to the Director

Upon receipt of the client's letter, the Polk County Regional CEO ~~Executive Director of Polk County Health Services~~ notifies the appropriate treatment provider or coordinator of services, who prepares a case summary. The case summary must be submitted to the Executive Director, Polk County Regional CEO within ten (10) workdays of the receipt of the appeal notice. The Executive Director, Polk County Regional CEO will review the case and appeal with appropriate staff and make a decision within four (4) workdays of the receipt of the case summary. The treatment provider or coordinator of services prepares a letter signed by the Executive Director, Polk County Regional CEO notifying the appellant of the decision. This letter must be sent within fifteen (15) workdays of the appeal. If the appeal is denied, the individual must be informed of his/her right to ~~request that the Executive Director reconsider the decision. If the individual is still not satisfied with the decision, an appeal may be filed~~ with an Administrative Law Judge.

~~If the applicant has state case status, he/she must appeal decisions in accordance with Iowa Administrative Code 441-153.58:~~

#### Expedited Appeals Process

This appeals process will be performed by a mental health professional who is either the Administrator of the Division of Mental Health and Disability Services of the Iowa Department of Human Services or the Administrator's designee. The process is to be used when the decision of the Polk County MHDS Region PCHS concerning an individual varies from the type and amount of service identified to be necessary for the individual in a clinical determination made by a mental health professional and the mental health professional believes that the failure to provide the type and amount of service identified could cause an immediate danger to the individual's health and safety.

#### How To Appeal:

Using the written appeal forms that will be attached to the Notice of Decision form:

1. The appeal will be filed within 5 days of receiving the notice of decision by the Polk County MHDS Region PCHS. The expedited review, by the Division Administrator or

designee will take place within 2 days of receiving the request, unless more information is needed. There is an extension of 2 days from the time the new information is received.

2. The Administrator will issue an order, including a brief statement of findings of fact, conclusions of law, and policy reasons for the order, to justify the decision made concerning the expedited review. If the decision concurs with the contention that there is an immediate danger to the individual's health or safety, the order will identify the type and amount of service, which will be provided for the individual. The Administrator or designee will give such notice as is practicable to individuals who are required to comply with the order. The order is effective when issued.
3. The decision of the Administrator or designee will be considered a final agency action and is subject to judicial review in accordance with section 17A.19.

## **G. Provider Network Formation and Management**

### **Network Providers**

The Polk County provider network will include contracts with sufficient licensed and accredited providers to provide services in the required core and additional core service domains where applicable so that there is no waiting list due to lack of available providers. ~~ADDD~~ Any providers in the Polk County provider network must sign a provider network agreement. The agreement requires that all providers participate in the quality improvement partnership for system development in the region, to become welcoming, person/family centered, trauma informed, and multi-occurring capable. Contract monitoring is performed by ~~the Polk County Regional CEO and Administrative Staff~~ Polk County Region PCHS staff to ensure that contract requirements are being met, including where they are at with system development.

Providers from whom Polk County will purchase services must also sign a county contract for services. Successful attainment of outcome, individual and family satisfaction, and cost-effectiveness measures will become the most important factors in continued network participation.

Polk County service contracts require that providers meet all applicable licensure, accreditation or certification standards. However, ~~Polk County Health Services~~ the Polk Region makes serious efforts to stimulate access to more natural supports in its service provider network. Polk County will include providers of services that do not require state certification, as long as they provide high quality services, positive outcomes and satisfaction, cost effectiveness, and are willing to comply with the Polk County MHDS Regional Management Plan. The Service Appeal Board will review the request from such providers as an out-of-plan request for funding and if approved, the request will be forwarded to the Polk County ~~Board of Supervisors~~ MHDS Regional Governing Board to authorize funding.

~~Two of Polk County's Core Values are: 1. collaboration and accountability are essential for achieving quality outcomes and 2. continuous innovation allows for system improvement, flexibility, and responsiveness. Polk County Health Services will work collaboratively with Polk County Network Providers to have staff trained in Positive Behavior Supports, Trauma-Informed Care, Multi-Occurring Conditions and other areas identified by PCHS and the service providers. The coordinator and service providers together complete a standardized functional assessment to determine the individual's level of support. The interdisciplinary team determines what services are needed and the coordinator submits the necessary funding requests to the appropriate funder. Behavioral health outcomes are gathered on all individuals receiving long-term services. The service providers and coordinators are evaluated on each of the outcome areas and incentive dollars are awarded when funding is available.~~

If a provider agency seeks to provide a significant level of licensed or certified services in Polk County, Polk County Regional CEO and Administrative Staff ~~Polk County Health Services~~ may

recommend that the Board of Supervisors Polk County MHDS Regional Governing Board enter into a contract with the agency. Factors to be considered in making such a recommendation include, but are not limited to the following:

- Unmet need for the proposed services.
- Experience in providing the services.
- Number and type of staff.
- Experience and training of staff.
- Continuing education of staff.
- Recruitment and training of volunteers.
- Quality of care, individual outcomes, family and individual satisfaction.
- Retention of individuals in other programs.
- Condition of facilities in other communities.
- Provision of transportation services for individuals.
- Assurance of cooperation with other provider agencies.
- Assurance of individualized services.
- Unique aspects of the provider agency.
- Relationship with other regions the agency serves.
- Funding source for the service.
- Financial viability of the agency.

Some of the services in the required core service domains are available through our community collaborations but are funded through other mechanisms. The Polk County MHDS RegionPCHS will seek to fill gaps in initial and additional core services as the need is identified and funds are available. If Polk County does not have a current contract for a needed service with an established provider, a request for funding through a Non-Traditional Provider Contract may be submitted to the Polk County Regional CEO and Administrative Staff Polk County RegionPCHS staff for approval by the Polk County Service Appeal Board. Non-traditional contracts are also available for when traditional service providers are not the best option.

The current Polk County MHDS network is included in the Annual Service and Budget Plan

The Polk County MHDS RegionPCHS will manage the provider network to ensure individual needs are met. To the greatest extent possible, given the constraints of workforce and funding limitations, the Polk County MHDS RegionPCHS will ensure an adequate number of providers are available to avoid waiting lists by contracting with outpatient mental health providers, Community Mental Health Centers, at least one inpatient psychiatric hospital and other providers of core services. County Network Providers to have staff trained in Positive Behavior Supports, Trauma-Informed Care, Multi-Occurring Conditions and other areas identified by the Polk County MHDS RegionPCHS and the service providers. The service providers and coordinators are evaluated on the Substance Abuse and Mental Health Services Administration wellness dimensions (physical, educational, occupational, financial, environmental, emotional, spiritual, and social) each of the outcome areas and incentive dollars are awarded when funding is available.

#### Service Provider Payment Provisions

Each service provider receiving Polk County funds for service provision will submit a monthly invoice. The monthly invoice will include the following information:

1. Identification number of each individual served during the reporting period.
2. Number of units of service delivered to each individual during the reporting period.
3. Unit rate and total charge for services provided to each individual.

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4. Copays collected or reimbursement billed to other sources, which are deducted on the billing.
5. Net amount to be charged to the county for each individual for the reporting period.

Upon receipt of this information, Polk County Regional CEO and Administrative Staff ~~staff of the Polk County Region~~PCHS and the County Auditor's Office will check the bill and additional information against service authorizations recorded in the management information system. Services delivered without service authorization will be checked against county service authorization protocols to assure delivery was permitted (e.g., crisis service, CMHC outpatient services). Any service units delivered and charged to the county not meeting these criteria will be deducted from the bill. Payment to contractors will be initiated as soon as this review process is completed.

~~PCHS will prepare annual reports of unduplicated client counts, expenditure data, application denials, and other relevant information.~~

It is the intent of Polk County that only the Polk County Regional CEO and Administrative Staff ~~Polk County Region~~PCHS staff or its designated access points will authorize services for residents of the Polk County MHDS Region. Due to that, it is the policy of Polk County that if another county, region, or the State, determines residency in error or approves services for persons who do not have residency in their region, Polk County may not assume retroactive payment. When written notification is received by the Polk County MHDS RegionPCHS of the error, the Polk County Regional CEO and Administrative Staff ~~Polk County Region~~PCHS staff will authorize services according to the policies and procedures set forth in this manual. If the dispute process identified in IAC 331.394(5) is utilized and Polk County MHDS Region is determined to be the person's residence, the Polk County MHDS Region will pay the amount due and will reimburse any other amounts paid for services provided by the other county or region or the department on the person's behalf prior to the determination.

#### **Designation of Targeted Case Management Providers**

Polk County ~~is the designated targeted case management provider and sub~~contracts with multiple network provider agencies to provide the service in order to give individuals a choice of provider. The implementation of evidence-based models of case management is impossible since there are no evidence-based models for individuals with intellectual and/or developmental disabilities. Targeted case management for individuals with mental illness was phased out as those individuals transitioned into Integrated Health Homes ~~contracted through the Iowa Plan~~. The region utilizes a strengths-based case management model, which research indicates is effective. Targeted case managers are prohibited from referring a person receiving case management only to services administered by their agency of employment.

Targeted case management providers are accredited by the Department of Human Services. All Targeted Case Managers, Service Coordinators, and supervisors of those programs must meet the qualifications required by 441-24.1(225C).

All coordinators of service report through the management information system data related to individuals' status regarding health, safety, work performance, and community residency. All coordinators of service comply with any requirements to prepare social histories, assessments, service plans, incident reports, crisis plans, coordinate and monitor services. Each provider agency has a quality assurance staff, which monitors compliance with various requirements in law and accreditation standards.

## **H. Quality Management and Improvement**

The Polk County MHDS RegionPCHS has a quality improvement process that provides for ongoing and periodic evaluation of the service system, and of the providers of services and

supports in the system. Stakeholders, with emphasis on individual input, are involved in the development and implementation of the quality improvement program.

#### **System Evaluation & Quality of Provider Services**

The Polk County MHDS Region strives to provide a comprehensive array of high-quality, research-based, ~~trauma-informed, culturally competent~~, and multi-occurring competent disability services and supports in the least restrictive and community-based settings. ~~The Polk County Regional CEO and Administrative Staff Polk County Region PCHS will prepare annual reports of unduplicated client counts, expenditure data, application denials, and other relevant information.~~

The Polk County MHDS Region implements a Plan-Do-Check-Act model of quality management. The Region values individuals served, their families, ~~and network providers, and other community stakeholders~~ in disability service planning, implementation and evaluation. Input and participation is ensured through the ~~Polk County MHDS Region PCHS Board~~, Service Appeal Board, and meeting processes. Annually, ~~the Polk County MHDS Region Polk County Health Services~~ will assess the Region's ~~Provider Network~~ performance and develop a list of priority areas needing improvement. Annual service plan, system satisfaction, and participant outcome results evaluate alignment and progress toward recovery and resiliency outcomes. Performance improvement plans are implemented when outcome results indicate services need improvement. Evaluations ensure that services and supports are provided in accordance with provider contracts. The annual budget and planning process is utilized to identify and implement core disability service improvements. Core disability service improvements are contingent on adequate funding.

#### **Methods Utilized for Quality Improvement**

- Direct interaction and feedback from individuals, families, providers, coordinators of service, and other stakeholders.
- Needs assessments, satisfaction surveys, and other written questionnaires.
- Establishment and maintenance of a data collection and management information system oriented to the needs of individuals, providers, and other programs or facilities.
- Polk County has a ~~very~~ robust outcome measurement system that looks at a variety of indicators of service excellence. In addition to this set of outcome measures, the outcomes will include those domains prescribed by ~~the Iowa Department of Human Services IDHS~~ once the domains have standardized data definitions in Administrative Rules.
- Tracking changes and trends in the disability services system and providing reports to the Department of Human Services as requested for the following information for ~~each individual~~ served:
  - ~~Demographic~~ demographic information.
  - ~~Expenditure~~ expenditure data.
  - Data concerning the services and other support provided to each individual, as specified in administrative rules.
  - The number and disposition of individual appeals and the implementation of corrective action plans based on these appeals.
- Data Exchange  
The Polk County Management Information ~~s~~System has the capacity to exchange information with the State, Counties, Regions and Providers in commonly used formats. Any access to information is based on authorized access within Federal and State confidentiality guidelines. Data exchanges will be designed to comport to agreed upon data definitions and exchange protocols, ~~once they are developed and adopted as Administrative Rules.~~

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## I. Waiting List Criteria

Polk County will ~~make every attempt to~~ maintain eligibility guidelines and service availability as outlined in this plan. However, ~~our~~ ~~the~~ ability to do so is contingent solely on the availability of sufficient funds to maintain current eligibility and services and to meet projected increases in the number of new individuals. Each time ~~the Polk County Regional CEO and Administrative Staff Polk County Region~~ PCHS staff conduct an estimate of anticipated revenues and expenditures in comparison to the budget, they will determine if there is sufficient funding for the anticipated expenditures, after reducing non-core services to the greatest extent possible. If sufficient funding is not available, ~~the Polk County Region~~ the PCHS Board of Directors and the Polk County Board of Supervisors ~~al Governance Board~~ will implement a waiting list in accordance with this section. ~~Depending on the extent of the insufficiency of the funding,~~ the ~~The~~ waiting list will be implemented for individuals requesting long-term non-treatment related services, first for non-priority populations and then, if needed, for priority populations.

In the event of the creation of a waiting list for funding, individuals placed on the waiting list will be notified. The notification will include the estimated length of time the individual may have to wait before funding will be available.

Individuals on the waiting list will be contacted at least semi-annually and advised of the current status, and any adjustment to the expected time on the list. When funding becomes available, ~~the Polk County Regional CEO and Administrative Staff Polk County Region~~ PCHS will determine which individuals will enter the system in accordance with the date placed on the waiting list and on emergency need. Exceptions may be granted based on vital need and/or safety or when mandated by Iowa Code.

The waiting list will be centrally maintained by ~~the Polk County Regional CEO and Administrative Staff Polk County Regional~~ the Regional office. The Polk County MHDS Region PCHS will notify the Iowa Department of Human Services when a waiting list is implemented. Any waiting list that may exist will be reviewed annually when planning for the future budgeting needs and future development of services.

## J. Amendments

Amendments to this Policy and Procedures Manual will be reviewed by the ~~the Polk County Regional Advisory Committees who shall make recommendations to the Polk County Region~~ PCHS Board of Directors MHDS Regional Governing Board, who will make recommendations to the Board of Supervisors. After approval by the Board of Supervisors Polk County MHDS Regional Governing Board, amendments will be submitted to the Department of Human Services for approval at least 45 days before the planned date of implementation.

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## Attachment A: Access Points and Care Coordination Agencies

An access point is a part of the Polk County MHDS Region service system that is trained to complete the MH/DS regional applications and determine service eligibility for persons with a disability. As of July 1, 2014, Polk County MHS Region has designated the following access points, including care coordination agencies, and the services they are able to authorize.

Access Point	What Services are Authorized by this Access Point?
Broadlawn Crisis Team Broadlawn Medical Center - BMC 1801 Hickman Road Des Moines, IA 50314 Tele: (515) 282-2200	Inpatient Partial Hospitalization/Day Treatment Outpatient
BMC-Community Access Program 2300 Euclid Ave., Suite B Des Moines, IA 50310 Tele: (515) 282-6770	Integrated Health Home Intensive Care Coordination Service Coordination Community Living Employment/Day Services *Other Supports
Orchard Place <u>Child Guidance Center</u> <u>808 5th Avenue</u> <u>Des Moines, IA 50309</u> <u>Tele: (515) 244-2267</u> <u>Child Guidance Center, a</u> <u>division of Orchard Place Lutheran Services of Iowa</u> <u>808 5th Avenue</u> <u>3200 University Avenue</u> <u>Des Moines, IA 50309</u> <u>Tele: (515) 244-2267-4476</u>	<u>Partial Hospitalization/Day Treatment</u> Outpatient Medication Management
<u>ChildServe</u> Box 707 Johnston, IA 50131 Tele: (515) 727-8750	Targeted Case Management Community Living Employment/Day Services *Other Supports
<u>Community Support Advocates</u> 6000 Aurora Avenue, Suite B Des Moines, Iowa 50322 Tele: (515) 883-1776	Integrated Health Home Intensive Care Coordination Service Coordination Targeted Case Management Community Living Employment/Day Services *Other Supports
<u>Easter Seal Society</u> 2920 30th Street Des Moines, IA 50310 Tele: (515) 274-1529	Targeted Case Management Community Living Employment/Day Services *Other Supports
<u>Eyerly-Ball Community Mental Health Services</u> 1301 Center Street Des Moines, IA 50309 Tele: (515) 243-5181	Outpatient Integrated Health Home Intensive Care Coordination Service Coordination Community Living Employment/Day Services *Other Supports
<u>Golden Circle Behavioral Health PACT Team</u> 945 19th Street Des Moines, IA 50314 Tele: (515) 241-0982	*Other Supports
<u>Link Associates</u> 1452 29th Street West Des Moines, IA 50266 Tele: (515) 262-8888	Targeted Case Management Community Living Employment/Day Services *Other Supports
<u>Lutheran Services of Iowa</u> <u>3200 University Avenue</u> <u>Des Moines, IA</u> <u>Tele: (515) 277-4476</u>	<u>Outpatient</u> Medication Management

~~\*Other Supports include transportation, homemaker, payee, rent assistance, Meals on Wheels, etc.~~

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